

GUIDE FOR ANNUAL PERFORMANCE APPRAISAL OF KOREAN EMPLOYEES

1. References:
 - a. USFK Reg 690-1, Chapter 14 (Performance Appraisal).
 - b. USFK Reg 690-1, Chapter 16 (Incentive Awards and Suggestion Programs).
 - c. USFK Memo, Establishment of Standardized Rating Periods for United States Forces Korea (USFK) Korean Employees DTD 18 Jun 2004.
 - d. EUSA Memo, Establishment of Standardized Rating Periods for United States Forces Korea (USFK) Korean Employees DTD 7 Jul 2004.
 - e. KORO Memo, KN Civilian Employee Performance Evaluations DTD 4 APR 2005.
2. IAW references above, annual performance appraisals for Korean employees will be accomplished on the following schedules using USFK Form 155EK-E:

<u>Pay Schedule and Grade</u>	<u>Rating Period</u>	<u>Due Date to CPAC</u>
KGS-1 through KGS-6	1 May – 30 Apr	31 May
KGS-7 and above	1 Feb – 31 Jan	28 Feb
KWB-1 through KWB-5	1 Nov – 31 Oct	30 Nov
KWB-6 and above	1 Aug – 31 Jul	31 Aug

3. SUPERVISORS' RESPONSIBILITIES:
 - a. Establishing performance requirements, whereby each employee under their supervision is informed of the quantity and quality of work expected in order to accomplish all aspects of the job satisfactorily.
 - b. Keeping employees advised of the level at which their performance is progressing, identifying strong or weak points, ascertaining the cause of deficiencies, and initiating corrective action.
 - c. Determining job training activities that will assist employees in improving their overall performance and enhance their future development.
 - d. Preparing official performance appraisals.
 - e. Initiating action to effect a change in assignment, CLG, or separation if, after a planned effort for improvement, performance is inadequate.
 - f. Initiating nominations for outstanding performance ratings and other honorary or cash awards for outstanding performance.
4. Procedures:
 - a. Rating periods normally cover one year. Special circumstances may sometimes require that a ratee be appraised in less than 12 months. This usually occurs when the ratee changes to another position. A rater may give an employee an annual performance appraisal in less than 12 months provided all the conditions listed below are met:

(1) The ratee does not have an annual appraisal for the rating year. If the ratee has already received an annual performance appraisal for that rating year, the rater should add the time to the next rating period rather than completing a second annual appraisal.

(2) The ratee has been in the continuing current position for at least six months.

(3) The ratee has been under the performance requirements for at least 120 days.

b. The rating supervisor (immediate supervisor) is responsible for completing the USFK Form 155EK-E. Complete personal data such as, employee's full name, official job title and grade, organization up to section level, period of appraisal, time on present job, and time under present supervisor. Before indicating rating by an "X" in the appropriate box on the form, please read the following six (6) rating elements established on the form. The first five elements pertain to both supervisory and nonsupervisory positions, and the last element (supervision and administration) pertains only to supervisory positions.

(1) **Quantity of Work**. Evaluated and rated in terms of acceptable production during the rating period, timeliness of work accomplished, and meeting deadlines.

(2) **Quality of Work**. Evaluated and rated in terms of accuracy and appearance of finished work; the comparative number of rejects, errors, or waste; degree to which specifications are met; thoroughness of information gathered and analysis of data; recommendations, judgments, and decision; language and manner of presentation; and effectiveness in expressing ideas orally, in writing, or both.

(3) **Cooperation**. Evaluated and rated in terms of ability to maintain effective relationships, work harmoniously with others, consider viewpoints of others, and willingness to give assistance.

(4) **Initiative**. Evaluated and rated in terms of ability to recognize and define problems, to identify alternative possible solutions, select the best course of action, and submit suggestions of present useful new ideas to improve operations.

(5) **English Ability**. Evaluated and rated in terms of the level of spoken and written competence necessary for acceptable performance of assigned duties.

(6) **Supervision and Administration**. Evaluated and rated in terms of effectiveness in selecting employees, assigning duties, evaluating work performance, training and developing subordinates, using incentive awards, administering leave, maintaining up-to date and efficient job structure, and promoting safety and adherence to the principles of equal employment opportunity.

c. **Rating Performance Elements**. Performance elements will be rated as follows:

(1) **Outstanding (A)**. Applies when an employee's performance is exceptional when measured against the established performance requirement, at least during the past six months of the rating period.

(2) **Above Average (B)**. Applies when an employee's performance is considered to have met all requirements with occasional outstanding performance.

(3) **Average (C)**. Applies when an employee's overall performance during the rating period is considered to have met the minimum requirements with occasional outstanding or marginal work.

(4) **Marginal (D)**. Applies when performance deficiencies have been identified that may be corrected by special training or by greater supervisory attention. Special attention will be given to identifying needed training and developing specific training and performance improvement plans.

(5) **Unsatisfactory (E)**. Applies when an employee's performance is clearly below the established requirements. This rating, when assigned to elements critical for satisfactory job performance, requires a letter of warning to the employee and consideration of an appropriate personnel action, such as counseling, on-the-job training assistance, reassignment, change to lower grade, or separation, as appropriate.

d. Three (3) ratings are identified for use in evaluating the total work performance and for assigning the employee's overall rating; "outstanding," "satisfactory," and "unsatisfactory."

(1) **Outstanding**. Work performance is sustained at an exceptional level throughout the rating period and achievements are readily recognized as outstanding.

- Non-supervisory – requires at least three of five elements be rated as Outstanding (Note: Both Quantity and Quality of work must be outstanding).
- Remaining two must be at least above average.
- Supervisors must also have outstanding for "Supervision and Administration".

BEFORE AN OVERALL OUTSTANDING RATING IS ASSIGNED. Normally an outstanding rating will not be processed until the employee has served a minimum of 12 months in a continuing current position. Exceptions to the 12 months incumbency are listed below.

(a) A position change resulting from application or RIF procedures or a management directed reassignment. In these cases, both the former and the current supervisor must attest to the high level performance in both jobs and provide written justification showing that performance was outstanding in all rating elements critical for satisfactory performance. A management directed reassignment may not be based on conduct or performance reasons.

(b) A position changed from temporary status to permanent status, which retains the same title, series, and grade is considered a continuing current position.

(c) An employee who is moved from one office to another in a different area during the rating period may be considered for an outstanding rating if the position title, series and grade remain unchanged and both the losing and gaining supervisors attest to the performance and provide written justification.

(d) The provisions of para-a above are met and both the losing and gaining supervisors attest to the performance and provide written justification.

(2) **Satisfactory**. Work performance falls among the ranges of above average, average, and marginal.

(3) **Unsatisfactory**. Efforts to correct an employee's inadequate work performance proved unsuccessful. An overall rating of unsatisfactory is appropriate:

(a) For nonsupervisory personnel when either the quantity of work or quality of work rating elements are unsatisfactory.

(b) For supervisory personnel, when any one of the three rating elements, quantity of work, quality of work, or supervision and administration, is unsatisfactory.

e. By following the above stated criterion, indicate Performance Rating by an "X" in the appropriate box (A, B, C, D or E) and indicate Overall Rating by an "X" in the appropriate box (Unsatisfactory or Outstanding) on the form.

f. THE RATER NEED NOT COMPLETE THE USFK FORM 155EK-E FOR EMPLOYEES ASSESSED AS SATISFACTORY.

g. **Supervisor's Evaluation.** Supervisors will comment on employee's strengths and weaknesses, efforts in meeting established job requirements, deficiencies identified, training needs and plans, interest in and qualification for promotion, and recommendations for promotion or reassignment.

h. **Employee's Comments.** The employee will assess and comment on supervisor/employee discussions on work assignments and performance rating, employee assignments and goals, and training and development plans. The employee will be requested to sign the completed appraisal form to acknowledge that it has been discussed with him. If the employee refuses to sign the form, a meeting will be arranged with the next higher supervisor to resolve differences of opinion between the immediate supervisor and the employee being appraised. If the employee persists in refusing to sign the form, the supervisor will comment to that effect and sign the form. The next higher supervisor will review and sign the appraisal form to indicate concurrence.

i. **When an overall rating of outstanding is recommended,** the immediate supervisor will prepare the required justification on the reverse side of USFK Form 155EK-E. Justification for the nomination will be concise and consist of:

(1) A brief listing, in narrative form, of the major duties of the employee's position critical to job success.

(2) A brief, factual statement of actual performance of the majority of those duties that describes clearly the manner in which the employee's performance exceeded applicable standards for satisfactory performance.

(3) A statement that performance of all other duties has not been less than satisfactory.

After the concurrence of the next higher level supervisor, the immediate supervisor will forward USFK Form 155EK-E (3 copies including original), together with supporting documents (justification for outstanding performance rating and proposed citation), to Area I CPAC for technical review and regulatory compliance after signed by the appropriate approval authority. (Due date for return to the CPAC is NLT 30 days after the end of the rating period.) The overall performance rating should not be discussed with the employee nor should the employee receive a copy of the official rating until the outstanding rating is approved. If the outstanding rating is disapproved, a rating of satisfactory is assigned.

j. The employee receiving an outstanding rating may be considered for a Sustained Superior Performance Award (SSPA) under the provisions of the References 1b above. The SSPA is the monetary award which may not exceed 200 hours pay at the scheduled base hourly rate. Nomination for the SSPA should be made on the DA Form 1256 (Incentive Award Nomination and Approval) at the time the outstanding rating is submitted to CPAC.

k. **In case employee is rated as UNSATISFACTORY.** The rating supervisor must follow the procedures outlined in the chapter 14-6d. Before taking any action for unsatisfactory rating, please contact MER Branch, Area I CPAC, 732-6049 for technical assistance.